



### Digital controls review of SharePoint administration

**Committee**            Audit and Standards

**Date of meeting**    7 June 2019

**Date of report**    26 February 2019

**Report by Assistant Chief Executive**

#### 1. Object of report

To advise the committee on the findings of a digital controls review of SharePoint administration. This engagement is included in the annual Internal Audit plan for 2018/19.

#### 2. Background

##### SharePoint

SharePoint is a Microsoft platform that allows organisations to work collaboratively by sharing and retaining data in various forms. SharePoint is not an application. SharePoint platform provides users an environment to:

- manage content and business processes;
- discuss ideas and review documents or proposals;
- co-ordinate projects, calendars, and schedules;
- find and share information across business boundaries; and
- enable informed decisions.

A SharePoint site is a website that contains different SharePoint web links including a document library, calendar(s), and task list. A SharePoint site collection is a group of SharePoint sites. Each site collection contains a top-level site and connected sub-sites.

The objective of this engagement was to review the administration and application of SharePoint (Microsoft office 365) throughout SPT.

This engagement tested elements of the internal controls and mitigation against SPT 7: Loss of digital infrastructure and SPT 22: Governance arrangements, as identified in the Corporate Risk register.

### 3. Outline of findings

Engagement testing (as at February 2019) found that SharePoint is used as a portal for committee papers and Nevis Technologies limited board papers and as a document management system to support the Subway Modernisation project.

SharePoint is also being utilised to support other areas of service delivery.

The engagement identified a requirement to review the internal strategy, guiding principles and documented procedures to enhance the current arrangements.

There are areas for improvement, and these areas have been addressed by seven audit recommendations. Digital management have agreed to implement these recommendations, which are currently being actioned.

### 4. Conclusions

The Audit and Assurance team has undertaken a digital controls review of SharePoint administration. Seven recommendations have been agreed from this engagement.

Key controls exist but are not applied consistently and effectively in the areas tested in this engagement.

Reasonable assurance can be taken from this engagement with exception to the internal guiding principles and documented procedures.

### 5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

### 6. Consequences

Policy consequences	<i>None.</i>
Legal consequences	<i>None.</i>
Financial consequences	<i>None.</i>
Personnel consequences	<i>None.</i>
Equalities consequences	<i>None.</i>
Risk consequences	<i>As detailed in the report.</i>

**Name** Valerie Davidson

**Name** Gordon MacLennan

**Title** Assistant Chief Executive

**Title** Chief Executive

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.

## Agreed action plan: Digital controls review of SharePoint administration

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>SharePoint strategy</u></p> <p>The SharePoint strategy requires review/refresh. This document should address:</p> <ul style="list-style-type: none"> <li>• Objectives, requirement and application;</li> <li>• Sponsor and ownership;</li> <li>• Roadmap and organisational alignment;</li> <li>• Requirements, design and timelines;</li> <li>• Budget, resourcing and skills;</li> <li>• Protocols and standards;</li> <li>• Performance monitoring arrangements.</li> </ul> <p>Strategic decisions require to be made in relation to the methodology to be applied in relation to the development, maintenance and administration of SharePoint.</p>	Medium	<p>Agreed, the Digital Road Map will incorporate a revised SharePoint strategy and administration arrangements.</p>	Digital Manager	June 2019
2	<p><u>Documented procedures</u></p> <p>Documented procedures should be refreshed for:</p> <ul style="list-style-type: none"> <li>• Digital staff responsible for maintenance and administration of SharePoint;</li> <li>• Site owners;</li> <li>• Departmental management (including protocol and consideration of training requirement, external communications and access, and business continuity alignment); and</li> <li>• Users.</li> </ul>	Medium	<p>Agreed, an initiative is being undertaken to align, refresh and update Digital policy and procedures.</p> <p>Once completed revised procedures will be communicated to relevant stakeholders.</p>	Digital Manager	June 2019

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
3	<p><u>Guiding principles</u></p> <p>Guiding principles for SharePoint should be redefined and documented. These statements should outline good practice that all site owners and users must adhere to, including:</p> <ul style="list-style-type: none"> <li>• Site creation and configuration;</li> <li>• SharePoint content pertaining to the use of Digital resources, including privacy, copyright, records retention, confidentiality, and document security;</li> <li>• Security policies: role-based security should govern access control and permissions on each area of the portal (intranet and extranet);</li> <li>• User experience: users should be able to consistently find key information on any collaboration site and search for the content they need. Design should minimise training requirements for end user;</li> <li>• Site owners should be accountable with all users responsible for content management;</li> <li>• Links should be used instead of e-mail attachments;</li> <li>• Copyrighted material should not be added to the portal without the proper licensing or approval.</li> </ul>	Medium	Agreed, SharePoint guiding principles will be redefined and redistributed to all users.	Digital Manager	June 2019
4	<p><u>Training</u></p> <p>Formalised tailored SharePoint training arrangements should be put in place for all user roles (including site owners).</p> <p>Digital and line management should ensure that training is provided prior to an access request being made. Training records should be maintained.</p> <p><b>Note:</b> Training should include provision of relevant documented procedures and coverage of guiding principles (as outlined above).</p>	Medium	Agreed, training arrangements will be reviewed in conjunction with Organisational Development.	Digital Manager	June 2019

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
5	<u>Application monitoring and content controls</u> Arrangements for SharePoint monitoring and content controls should be reviewed and implemented including event logs, usage reports, security hierarchy, and back-up arrangements.	Medium	Agreed. Monitoring and content management controls will be reviewed in conjunction with SharePoint site owners.	Digital Manager in conjunction with SharePoint site owners	June 2019
6	<u>SharePoint site owners</u> SharePoint site owners should carry out a holistic review, including: <ul style="list-style-type: none"> <li>• SharePoint site navigation and file plan;</li> <li>• user roles and privileges for adequacy;</li> <li>• permission levels;</li> <li>• orphaned users (i.e. when a user leaves SPT, Digital will either deactivate or delete them from the users (active) directory. However, it won't remove their permissions in SharePoint, which is why they are referred to as orphaned);</li> <li>• users without permissions;</li> <li>• external users with permissions and sharing content;</li> <li>• guest users;</li> <li>• file structure and data library;</li> <li>• access and control arrangements.</li> </ul>	Medium	SharePoint user roles and privileges will be reviewed by Digital officers in conjunction with site owners.	Digital Manager in conjunction with SharePoint site owners	June 2019

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
7	<u>SharePoint security</u> SharePoint security controls to protect the integrity of the on-premise and cloud SharePoint sites (including access from mobile devices and data in transit) should be reviewed for adequacy and strengthened, where required.	Medium	SharePoint security controls will be reviewed and enhanced, where appropriate.	Digital Manager	June 2019

**High:** A fundamental control that should be addressed as soon as possible;

**Medium:** An important control that should be addressed within three months;

**Low:** An issue which is not fundamental but should be addressed within six months to improve the overall control environment.